United States Court of Appeals for the Second Circuit



APPELLANT'S APPENDIX

ORIGINAL WITH PROOF OF SERVICE

76-7455

UNITED STATES COURT OF APPEALS

for the

SECOND CIRCUIT

SYNTAX TIME SHARING, LTD., and ALBERT L. BARKSDALE, JR., individually and as agent of SYNTAX TIME SHARING, LTD.,

Plaintiffs-Appellants,

-against-

MAX SIRKUS, as CALENDAR CLERK OF THE SUPREME COURT NEW YORK COUNTY, CHASE MANHATTAN BANK, N.A., WILLARD COHEN, and ROBERT BREAKSTONE, individually and as agents of CHASE MANHATTAN BANK, N.A.,

Defendants-Respondents.

APPEAL FROM THE UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK

APPENDIX

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(FOR ADDITIONAL APPEARANCES SEE REVERSE SIDE

(5821)

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PAGINATION AS IN ORIGINAL COPY

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J.K.

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505 HARKAVINUE, N.Y.C. N.Y. 10022 HA 1-2835 ATTORNEYS

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SUMMONS

United States District Court

FOR THE

SOUTHERN DISTRICT OF MEW YORK

JUNGE WYAT

CIVIL ACTION FILE No. 16 01/25/3

SUMMONS

SYMTAX TIME SHARING, LTD., and ALBERT L. BARKSDALE, Jr., Individually and as Agent of SYNTAX TIME SHARING, LTD.,

Plaintiffs,

MAX SIRKUS, and CALENDAR CLERK OF THE SUPREME COURT NEW YORK COUNTY, CHASE MANHATTAN BANK, M.A., WILLARD COHEN and ROBERT BREAKSTONE, Individually and as Agen's of CHASE MANHAT-TAN BANK, N.A.

Defendants.

- Defendant

To the above named Defendant

You are hereby summoned and required to serve upon

Note: - Anidavia required only if service is made by a person other thanks United States Marshal or his Despession

plaintiff's attorney , whose address IS

Subscribed and sworn to before me, a

505 Park Avenue New York, M.Y. 10022

an answer to the complaint which is herewith served upon you, within 20 days after service of this United Scotes Marshal summons upon you, exclusive of the day of service. If you fail to do so, judgment by default will be taken against you for the relief demanded in the complaint.

Joseph Warde, Esq.,

Date: June 10, 1976

[Seal of Court]

UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK

SYNTAX TIME SHARING, LID., and ALBERT L. BARKSDALE, Jr., Individually and as Agent of SYNTAX TIME SHARING LID.,

CIVIL ACTION

No. 76 CN 2573

Plaintiffs.

-against-

COMPLAINT

MAX SIRKUS, as CALENDAR CLERK of the SUPREME COURT: MEN YORK COURTY, CHASE MANHATTAN BANK, N.A., WILLARD COHEN and ROBERT BREAKSTONE, Individually and as Agents of CHASE MANHATTAN BANK, N.A.,

JURY TRIAL

RECURSTED

Defendents.

MATURE OF THE COMPLAINT

1. This is an action for declaratory relief and damages for violation of plaintiffs' rights under the Fifth, Seventh, Ninth, Thirteenth and Fourteenth Amendments of the United States' Constitution.

JURISDICTION

2. Plaintiffs sue for declaratory relief and damages pursuant to 28 U.S.C. 2201 and 2202 for the deprivation of rights and privileges guaranteed to them jointly and severally by the Fifth, Seventh, Ninth, Thirteenth and Fourteenth Amendments of the United States' Constitution. The amount in controversy exceeds the sum of Ten Thousand (\$ 10,000.00) Dollars.

This Court has jurisdiction of State Claims under the Doctrine of Pendent Jurisdiction.

PARTIES

Plaintiffs

- 3. Plaintiff SYNTAX TIME SHARING, LND., hereinafter referred to as SYNTAX, is a Domestic Corporation and a Citizen of the State of New York, and plaintiff, ALBERT L. BARKSDALE, Jr., hereinafter referred to as BARKSDALE, is a Agent thereof and a Citizen of the State of New York.
- 4. Plaintiff SYMTAX was engaged in electronic data processing consulting services in the areas of systems analysis and design and facilities management to Banks, and plaintiff BARKS-DALE was a consultant in the above areas.

Defendants

- 5. Defendant MAX SIRKUS, hereinafter referred to as SIR-KUS, was the Calendar Clerk of the Supreme Court; New York County, doing business in the State of New York, and, is responsible, inter alia, for the assignment of Calendar Numbers to causes and their placement on the several calendars thereof.
- 6. Upon information and belief, defendant CHASE MANHAT-TAN BANK, N.A., hereinafter referred to as CHASE, was a National Association doing business in the State of New York and engaged in electronic data processing consulting services in the areas of systems andlysis and design and ficilities management to Banks.
- 7. Upon information and belief, defendant WILLARD COHEN, hereinafter referred to as COHEN, was an officer and/or employee of defendant CHASE and a Citizen of New Jersey doing business in the State of New York.

- 8. Upon information and belief, defendant ROBERT BREAK-STONE, herin after referred to as BREAKSTONE, was an officer and/or employee of defendant CHASE, and a Citizen of the State of New York.
- 9. On about December 4, 1973, defendants CHASE, COHEN and BREAKSTONE, jointly and/or severally caused a false, inaccurate and defective note of issue and statement of readiness to be sent to plaintiffs. (See Exhibit 1)

FIRST CLAIM

- 10. Plaintiffs repeat and reallege each and every allegation ser forth in paragraphs 1-9 inclusive herein.
- 11. On about July 12, 1972, plaintiffs commenced an action against defendants CHASE, COHEN and BREAKSTONE in Supreme Court, New York County. (See Exhibit 2)
- 12. As a result of plaintiffs' motions respecting the false, inaccurate and defective note of issue and statement of readiness referred to above, on about June 20, 1974 the Court granted plaintiffs' motion to vacate said notice and statement and stated that in view of the foregoing, the application for a jury trial was academic. (See Exhibits 3 & 4)

130n about March 17, 1975, plaintiffs cuased a note of issue and statement of readiness with a jury demand to be presented to the Calendar Clerk, defendant SIRKUS, to obtain a calendar number and a position on the jury calendar of said Court. (See Exhibit 5)

14. Said note of issue and statement of readiness was wrongfully rejected by said defendant and the cause was not assigned a calendar number nor a position on the jury calendar.

15. Plaintiffs are convinced, and verily believe that they are entitled to a jury trial of their action against defendants

CHASE, COHEN and BREAKSTONE under the Seventh Amendment of the United States' Constitution and other laws.

SECOND CLAIM

- 16. Plaintiffs repeat and reallege each and every allegation set forth in paragraphs 1-9 and 11-15 inclusive herein.
- 17. Upon information and belief, defendants CHASE, COHEN and BREAKSTONE, jointly and/or severally caused said note of issue and statement of readiness referred to in paragraph 9 supra, to be filed in said court to delay, discourage and/or defeat plaintiffs' pretrial inquiries; secure a particular calendar part for this cause and to deny plaintiffs a fair trial.
- 18. Upon information and belief, defendants CHASE, COHEN and BREAKSTONE, jointly and/or severally caused said note and statement to be filed to deny plaintiffs a jury trial.

THIRD CLAIM

- 19. Plaintiffs repeat and reallege each and every allegation set forth in paragraphs 1-9; 11-15, 17 & 18 inclusive herein.
- 20. Upon information and belief, the foregoing acts complained about herein violate the due process; equal protection and privileges and immunities clauses of the Fifth and Fourteenth Amendments of the United States' Constitution.

POURTH CLAIM

21. Plaintiffs repeat and reallege each and every allegation set forth in paragraphs 1-9; 11-15; 17,18, 6 20 inclusive 23. Upon information and belief, the foregoing acts complained of herein violate plaintiffs' rights under the Thirteenth Amendment of the United States' Constitution.

FIFTH CLAIM

lawful inventive enterprise.

- 24. Plaintiffs repeat and reallege each and every allegation set forth in paragraphs 1-9; 11-15; 17, 18, 20, 22 & 23, inclusive herein.
- 25. upon information and belief, the aforesaid rejection of plaintiffs' note of issue and statement of readiness was without legal authority and void.
- 26. Upon information and belief, said rejection was violative of CPLR 601; 4101, 4102 (c) Article 1 Section 2 of the New York State Constitution; Article 3 Section 2 of the United States Constitution; the Fifth, Seventh, Minth, Thirteenth and Fourteenth Amendments of the United States' Constitution and deprives plaintiffs of substantial rights.

WHEREFORE, plaintiffs respectfully request the following relief be granted:

- 1. That this Court issue a declaratory judgment that the act or acts of defendant SIRUS were void and unconstitutional.
- 2. That this Court issue a declaratory judgment that the acts of defendants SIRKUS, CHASE, COHEN and BREAKSTONE, jointly and severally, were violative of plaintiffs' rights under the

COMPLAINT - JUNE 7, 1976 IN U.S. DIST. CT.

Fifth, Seventh, Ninth, Thirteenth and Fourteenth Amendments of the United States' Constitution.

- 3. That this Court issue and grant an order directing defendant SIRKUS to accept plaintiffs' note of issue and statement of readiness as was submitted and to place plaintiffs' cause on the Jury Calendar of the Supreme Court, New York County, nunc pro Tune.
 - 4. That this Court sward plaintiffs damages as follows:
 - (a) The sum of \$ 5,000,017.50
- (b) The reasonable value of plaintiffs' rights in and to the CCIF Project.
- 5. That this Court order defendants to pay costs and disbursements of this action and counsel fees.
- 6. That this Court award such other and further relief as under the premises may seem just and proper.

Respectfully submitted,

JOSEPH WARDE
505 Park Avenue
New York, N.Y. 10022
(212) HA 1-2835

Dated: New York, N.Y.

June 7, 1976

Attorney for Plaintiffs

EXHIBIT 1 TO COMPLAINT: NOTE OF ISSUE FOR TRIAL WITHOUT A JURY WITH STATEMENT OF READINESS

| 5378—Note of Laure and Statement of Readings, First and Second Dep | partments. b Julius 80 Ex | BLUMBERG, INC., LAW BLANK P. CHANGE PLACE AT BROADWAY. | NEW YORK |
|--|--|---|------------|
| Court Case No19808/73 | NOTE OF ISSUE | This space for Clerk's p | file stamp |
| SYNTAX TIME SHARING, IND., and ALBERT L. BARKSDALE, Jr., Individually and as agent of SYNTAX TIME SHARING, LTD., | Without jury X Filed by Attorney for Chase Manha | tan | |
| Plaintiff against CHASE MANHATTAN BANK, N.A., WILLARD COHEN and ROBERT BREAKSTONE, Individually and as Agents of CHASE MANHATTAN, N.A. | Date summons served 7/12/72 Date issue joined 9/6/72 NATURE AND OBJECT OF ACTION (Sp. Negligence Personal Injury Property Damage Both | R.R. Bidg. & Sidowalk | |
| Defendant B | Other Tort (specify) Contract (specify) Alleged emplo Other Law (specify) Matrimonial (specify) Other Equity (specify) Amount Demanded \$ | yment Contract | |
| JOSEPH WARDS Allornevisi for Flamini(s) Office & P.O. Address: 120 E. 56th Street New York, New York 10022 Phone No.: HA 1-2835 | MATTHEW F. DONOHUE Attorney(s) for Defendant(s) Office & P.O. Address: 1 New York Plaza New York, New York Phone No.: 676-3723 |)O4 | |

Note: Clerk will not accept this note of issue unless reverse side is completed.

This Note of Issue must be typed or printed and filed in triplicate.

Preserence claimed under.....

EXHIBIT 1 TO COMPLAINT: NOTE OF ISSUE FOR TRIAL WITHOUT A JURY WITH STATEMENT OF READINESS

STATEMENT OF READINESS

For use in First and Second Judicial Departments Required by Special Rules respecting Calendar Practice

1. All necessary or proper preliminary proceedings allowed by statute and rule applicable to the action (Civil Practice Act, articles 29 and 32; Rules of Civil Practice 115, 116, 121 through 142) and by rules of the Appellate Division applicable to notes of issue

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b. the plaintiff has completed all such proceedings

xand the plaintiff they are intend to and the tracedies.

c. the defendant has completed all such proceedings except

and the defendant has had a reasonable apportunity to complete and proventings

2. *a. Settlement of this action has been discussed unsuccessfully 705

b. The reasons why no settlement discussions have been had are:

3. This action is ready for trial.

tiovember 30 mm 373

MATTELL P. DUCORDE

Attorney for Defendants
Office & P. O. Address

1 liev York Flaza Nov York, New York 10004

NOTE: Note of Issue and Statement of Readiness must be filed in triplicate.

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^{*} Strike out if inapplicable.

SUPREME COURT OF THE STATE OF NEW YORK
COUNTY OF NEW YORK

SYNTAX TIME SHARING, LTD., and ALBERT L. BARKSDALE, Jr., Individually and as Agent of SYNTAX TIME SHARING, LTD.,

Plaintiffs,

-against-

VERIFIED

CHASE MANHATTAN BANK, N.A., WILLARD COHEN : and ROBERT BREAKSTONE, Individually and as Agents of CHASE MANHATTAN BANK, N.A., :

COMPLAINT

Defendants.

Plaintiffs, as and for their Verified Complaint by Joseph Warde, their Attorney, respectfully show to this Court and allege as follows:

AS AND FOR A FIRST CAUSE OF ACTION ON BE-HALF OF PLAINTIFF, SYNTAX TIME SHARING, LTD.

FIRST: At all times hereinafter mentioned, Plaintiff

Syntax Time Sharing Ltd., was a Domestic Corporation duly organi
zed and existing under the Laws of the State of New York, and that

Plaintiff Albert L. Barksdalc, Jr., is an agent thereof.

SECOND: Upon information and belief, Defendant Chase Manhattan Bank, N.A., is a Domestic Corporation and that Defendant Willard Cohen is the 2nd Vice President, and Defendant Rrbert Breakstone is the 1st Vice President thereof.

THIRD: On or about April 7, 1972, Defendant Chase Manhattan Bank, N.A., entered into a contract with Plaintiff Syntax Time Sharing, Ltd., hiring Plaintiff as Consultant to its C.C.I.F. Project to provide technical assistance in the designing thereof; agreeing on all of the material terms of said contract and subsequently agreed that a more formal expression of the same would

later be submitted by Plaintiff.

FOURTH: At the same time and place, Defendant Chase Manhattan Bank, N.A., through its agent, Defendant Willard Cohen, was informed of Plaintiff's activity and projections for its Trainer Project and that Plaintiff intended to utilize the monies received from this contract to obtain investment capital and use for leverage to provide additional financing to build and market said Trainer by March, 1973, in order to obtain 5% of the Teaching Machine market estimated at \$ 6,000,000.00.

FIFTH: Upon information and belief, said contract was made by Defendant Willard Cohen with the knowledge and/or consent; express and/or implied of Defendant Robert Breakstone and Chase Manhattan Bank, N.A.

SIXTH: Plaintiff performed fully all on its part to be performed in accord with the aforementioned contract from April 11, 1972 up to and including May 30, 1972, when Defendant Chase Manhattan Bank, N.A., by its agent, Defendant Willard Cohen, wrongfully discharged Plaintiff as Consultant to the C.C.I.F. Project, breaching said contract thereby.

SEVENTH: Upon information and belief, said discharge was made with the knowledge and/or consent; express and/or implied of Defendants Robert Breakstone and Chase Manhattan Bank, N.A.

EIGHTH: By virtue of the above, Plaintiff has lost its profit from said contract; the opportunity to utilize the entire proceeds of said contract in the obtaining and levering of investment finance for its Trainer Project; the loss of some 300 days necessary to place itself in a favorable position in the Teaching Machine market together with the loss of time and the expense in-

curred in obtaining of qualified technical professionals in order to perform its part of the above contract.

NINTH: As a result of the foregoing, Plaintiff has been damaged in the sum of Five Million (\$ 5,000.000.00) Dollars.

AS AND FOR A SECOND CAUSE OF ACTION ON BE-HALF OF PLAINTIFF, SYNTAX TIME SHARING, LTD.,

TENTH: Plaintiff repeats, reiterates and realleges each and every allegation contained in paragraphs FIRST through FIFTH inclusive, with the same force and effect as if set forth more fully herein.

ELEVENTH: On or about the making of the aforementioned contract, Defendant, Chase Manhattan Bank, N.A., by its agent Willerd Cohen represented to Plaintiff that the contract term would extend from April 11, 1972 to September 28, 1972, and he subsequently represented to Plaintiff that it would be give ongoing or substantially more work by the bank.

TWEIFTH: Upon information and belief, such representations were made with the knowledge and/or consent; express and/or implied of Defendants Robert Breakstone and Chase Manhattan Bank, N.A., and that such representations were false and the said Defendants knew that they were false.

THIRTEENTH: Upon information and belief, the above representations were made to induce Plaintiff to enter the said contract to temporarily obtain the services of Plaintiff Albert L. Barkadale Jr...

FOURTEENTH: Plaintiff relied upon said representations to its detriment.

FIFTEENTH: By virtue of the above, Plaintiff has lost its profit from the contract; the opportunity to utilize the entire proceeds of said contract in the obtaining and levering of investment finance for its Trainer Project; the loss of some 300 days necessary to place itself in a favorable position in the Teaching Machine market together with the loss of time and the expense incurred in obtaining qualified technical professionals in order to perform its part of the contract.

SIXTEENTH: As a result of the foregoing, Plaintiff has been damaged in the sum of Five Million (\$ 5,000,000.00)

AS AND FUR A THIRD CAUSE OF ACTION ON BE-HALF OF PLAINTIFF, ALBERT L. BARKSDALE, Jr.,

SEVENTEENTH: Plaintiff repeats, reiterates and realleges each and every allegation contained in paragraphs FIRST through THIRD inclusive, with the same force and effect as if set forth more fully herein.

EIGHTEENTH: At all times hereinafter mentioned, Plaintiff
was the owner and entitled to immediate possession of a certain
book entitled "Computer Semantics" with an approximate value of
Seventeen and one half (\$ 17.50) Dollars.

NINETEENTH: On or about April 30, 1972, Plaintiff leaned said book to one of the Consultants on the C.C.I.F. Project under the management and control of Defendant Chase Manhattan Bank, N.A. and working directly under Defendant Willard Cohen, the Project Manager.

TWENTIETH: Upon information and belief, such loan was made with the knowledge and/or consent; express and/or implied of Defendants herein.

TWENTY SECOND: Upon information and belief, Defendant

Chase Manhattan Bank, N.A., and/or its agents servants and/or emp

ployees are in possession and/or control of said chattel; have wrongfully detained and continue to detain the same from Plaintiff.

TWENTY THIRD: As a result of the foregoing, Plaintiff has been damaged in the sum of Seventeen and one half (\$ 17.50) Dollars.

AS AND FOR A FOURTH CAUSE OF ACTION ON BEHALF OF PLAINTIFFS SYNTAX TIME SHARING, LTD., AND ALBERT L. BARKSDALE, Jr.,

TWENTY FOURTH: Plaintiffs repeat, reiterate and reallege each and every allegation contained in paragraphs FIRST through THIRD inclusive, with the same force and effect as if set forth more fully herein.

TWENTY FIFTH: Upon information and belief, on or about February 1, 1972, Defendant Chase Manhattan Bank, N.A., commenced its C.C.I.F. Project under the management of Defendant Willard Cohen with the assistance of a Consulting Firm.

TWENTY SIXTH: Upon information and belief, Plaintiff
Barksdale joined said project about February 15, 1972, as a Consultant from the same Consulting Firm for which he worked on an
"at will" basis.

TWENTY SEVENTH: On or about February 28, 1972, Plaintiff Barksdale invented, created, concieved of and/or devised, by his own independent means and on his own time, a totally new concept or variation of the C.C.I.F. Project.

TWENTY EIGHTH: Plaintiff Barksdale thereafter developed his new concept and therefrom structured what he called the Filial Tree Structuring Subsystem and the Variable Criteria Selection Subsystem, which nomenclature and concept was subsequently adopted by Defendants Chase Manhattan Bank, N.A., Willard Cohen and Robert Breakstone.

TWENTY NINTH: On or about March 31, 1972, Plaintiff Barks-dale resigned his position with said Consulting Firm and Defendant's C.C.I.F. Project, dependent upon Plaintiff's development of his invention, creation or conception of the above subsystems and C.C. I.F. Project, was temporarily suspended.

THIRITETH: On or about April 5, 1972, Defendant Chase Manhattan Bank, N.A., contacted or caused Plaintiff Barksdale to be contacted concerning it obtaining his services for the project.

THIRTY FIRST: On or about April 7, 1972, Plaintiff Barks-dale on behalf of Plaintiff Syntax Time Sharing, Ltd., entered into a contract with Defendant Willard Cohen on behalf of Defendant Chase Manhattan Bank, N.A., with the knowledge and/or consent; express and/or implied of Robert Breakstone, respecting Plaintiff Syntax Time Sharing Ltd's services on the C.C.I.F. Project and specifying that Plaintiff Barksdale be one of the two personnel supplied thereby. (See Paragraph 3rd and Exhibit "A" annexed)

THIRTY SECOND: Between April 11, 1972, and about May 22, 1972, Defendant Chase Manhattan Bank, N.A., by Defendant Willard Cohen requested various minor changes in the formal expression of the agreement with Plaintiff Syntax Time Sharing Ltd., which culminated in Exhibit "A" annexed hereto. (Copy of last writing submitted on or about May 22, 1972, none of which were signed)

THIRTY THIS: There was no agreement between the parties to the said contract or with any other party for either plaintiff to give, assign or convey to anyone, including Defendant Chase Manhattan Bank, N.A., its agents, servants and/or employees, any proprietory or other rights in and to any inventions, discoveries creations and/or innovations whatever. (See Paragraphs 3rd, 11th, 31st and Exhibit "A". annexed hereto)

THIRTY FOURTH: Upon information and belief, Defendants Willard Cohen, Robert Breakstone and Chase Manhattan Bank, N.A., are wrongfully exercising dominion and control over the said new concept of the C.C.I.F. Project and subsystems invented, created and/or concieved soley by Plaintiff Barksdale and that Defendant Chase Manhattan Bank, N.A., its agents, servants and/or employees and/or others on its behalf are proceeding with the further development of plaintiff's invention, creation and/or conception and intend to utilize, copyright, patent and/or issue licenses for the use of said subsystems and new concept of the C.C.I.F. Project.

THIRTY FIFTH: From February 28, 1972, to date, Defendant Chase Manhattan Bank, N.A., its agents, servants and/or employees have failed, neglected and/or refused to acknowledge Plaintiff Barksdale's invention creation and/or conception of the above subsystems and new C.C.I.F. Project concept.

THIRTY SIXTH: A disputed jural relationship exists tetween Plaintiffs and Defendants respecting Plaintiffs' claim to proprietory and other rights in and to the aforementioned Filial Tree Structuring and Variable Criteria Selection subsystems together with the new concept of the C.C.I.F. Project which Defendants have subsequently adopted as their C.C.I.F. Project.

THIRTY SEVENTH: As a result of the foregoing, Plaintiffs have suffered and continue to suffer irreparable injury.

THIRTY EIGHTH: Plaintiffs have no adequate remedy at law.

WHEREFORE, Plaintiffs pray for judgment in this action
as follows:

On the first cause of action, FIVE MILLION (\$ 5,000.000.00)

DOLIARS;

On the second cause of action, FIVE MILLION (\$ 5,000.000.

On the third cause of action, judgment declaring Plaintiff Barksdale the owner and entitled to immediate possession of a certain book entitled 'Computer Semantics" by John A. Lee and that said chattel be delivered to Plaintiff and, if possession thereof cannot be given to said Plaintiff, that he have judgment against Defendants Chase Manhattan Bank, N.A., Willard Cohen and Robert:

Breakstone for the sum of Seventeen and one half (\$ 17.50) Poliars;

On the fourth cause of action, judgment that the Court declare the precise rights and other legal relationships between Plaintiffs and defendants herein, their agents, servants and/or employees under under the agreement of April 7, 1972 and for further and consequential relief as follows:

- 1. Plaintiffs request that the Court declare whether
 Plaintiffs have any proprietory and/or other rights in and to the
 Filial Tree Structuring and Variable Criteria Selection Subsystems
 together with the new concept of the C.C.I.F. Project invented,
 created and/or concieved by Plaintiff Barksdale.
- 2. Plaintiffs request that the Court declare whether Defendants, their servants, agents and/or employees have any proprietory and/or other rights in and to the above subsystems and new concept of the C.C.I.F.Project so described.
- 3. If the Court shall declare that Defendants, their agents, servants and/or employees have none of the above rights with respect to the above subsystems and new concept of the C.C.I.

 F. Project, then Plaintiffs also pray as further consequential relief that Defendants, their agents, servants and/or employees be enjoined and restrained from all further development and/or use of the above subsystems and new concept of the C.C.I.F. Project and directed to surrender to Plaintiffs the complete documentation to said subsystems and new concept of the C.C.I.F. Project.
- 4. If the Court declares that Defendants, their agents, servants and/or employees have any rights in and to the above subsystems and project, Plaintiffs also pray that they be directed to adhere strictly to the scope and extent of such rights and restrained and enjoined from exceeding said scope.

For such other and further relief which the Court may deem just and proper herein.

Costs and disbursements of this action

A.

EXHIBIT 2 TO COMPLAINT: COMPLAINT DATED JULY 12, 1972 IN N.Y. SUPREME COURT

JOSEPH WARDE, ESQ., Attorney for Plaintiffs Office & P.O. Address 120 East 56th Street New York, N.Y. 10022

EXHIBIT 3 TO COMPLAINT: ORDER OF N.Y. SUPREME COURT FILED JUNE 20, 1974

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| SYNTAX TIME SHARING LTD | | |
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| -against - | 7. | 1 |
| CHASE MAN BANK | PRESENT: ARNOLD L. FEIN | 1 |
| | Hon. Justice. | |
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EXHIBIT 4 TO COMPLAINT: ORDER OF N.Y. SUPREME COURT FILED JUNE 24, 1974

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| Plaintiffs' | motion to vacate defendants' note of issue |
| is granted and the cau | use is stricken from the calendar. It is |
| patent that pre-trial | disclosure has not been completed, as |
| evidenced by the paper | rs submitted. In view of this disposition, |
| the motion for leave | to file a jury demend is denied as academic. |
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| Dated 11 12 70, 127 | J.S.C. |
| Briefs: Plaintiff's Defendant's 1 | l'elition: r's Respondents Reinter's |
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EXHIBIT 5 TO COMPLAINT: NOTE OF ISSUE IN N.Y. SUPREME COURT FILED MARCH 17, 1975 DEMANDING A JURY TRIAL WITH STATEMENT OF READINESS

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| | NOTE OF ISSUE |
| Index No. 19808-1973 | (3) |
| Supreme Court, New York | County, N. Y. |
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| | NOTICE FOR TRIAL |
| YNTAX TIME SHARING, LTD., and | Trial By Jury of 6 jurors demanded 🖾 |
| LBERT L. BARKSDALE, Jr., Indi- idually and as Agent of SYNTAX IME SHARING, LTD., | Trial Without jury |
| | Filed by Attorney for Plaintiffs |
| | Date summons served 7/12/72 |
| · Plaintiff | Date issue joined 9/29/72 |
| egainst | NATURE AND OBJECT OF ACTION (Specify for each cause of Action) |
| HASE MANHATTAN BANK, N.A., | Negligence |
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| Dejendant | Amount Demanded \$5,000,000.00 plus \$ 17.50 |
| Dejenaant | Other Relief Judgment declaring the rights of the |
| 1 1100 | parties in and to the Filial Tree Structuring and Variable Criteria Selection Subsystems of defendant's CCIF on-line Project and to defendant's CCIF on-line Project. |
| CO CL P | K |
| oseph Warde, Esq., thermay(s) for Plaintiff(s) fice & P.O. Address: O5 Park Avenue 2W York, N.Y. 10022 | Matthew F. Donohue, Esq., Attorney(s) for Defendant(s) Office & P.O. Address: 1 New York Plaza New York, N.Y. 10004 |
| | Phone No.: 676-3723 |
| Proference claimed under | |
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otor Clark will not accept this note of lesse unless reverse side to co This Nate of Esses must be typed or pointed. Original a. I two daylinated originals, with possio of service separat.

EXHIBIT 5 TO COMPLAINT: NOTE OF ISSUE IN N.Y. SUPREME COURT FILED MARCH 17. 1975 DEMANDING A JURY TRIAL WITH STATEMENT OF READINESS

STATEMENT OF READINESS

For use in First and Second Judicial Departments Required by Special Rules respecting Calendar Practice FOR CLERK'S USE

N. L. SERVED

1. All necessary or proper preliminary proceedings allowed by statute and rule applicable to the action (Civil Practice Law and Rules, Article 31, Section 3011 and Rules 3012, 3013 and 3011) and by rules of the Appellate Division applicable to notes of issue.

- a. There beca completed by all partice herete;
- b. the plaintiff has completed all such proceedings except Discovery and Inspection proceedings.

and the plaintiff does not intend to conduct these proceedings, .

°c. the defendant has completed all such proceedings except

Examination before Trial

and the defendant has had a reasonable opportunity in complet such proceedings

. the reasons why no settlement discussions have being the

3. This action is ready for trial.

February 28, 1975

· Strike out if inapplicable.

Signature — type name be JOSEPH WARDE

Plaintiffs

Attorney(s) for 505 Park Avenue :...

New York, N.Y. 10022

" " ... " · ...

State of New York, County of

being duly sworn, deposes and says; that deponent is not a party to the action, is over 18 years of age and resides at

deponent served the within note of issue and statement of

atterney(s) for herein, at his office at

ring his absence from said office strite out elter (a) or (b)
(a) by then and there leaving a true copy of the same with

his clerk; partner; person having charge of said office.

(b) and said office being closed, by depositing a true of same, enclosed in a scaled wrapper directed to said attention the office letter drop or box.

State of New York, County of NEW YORK TOSETH WARDS, HOVING being duly sworn, deposes and easys; that deposent is not a party to the action, is over 18 years of age and rusides at W FTI+ OFFEICE AT 505 PARK AVENUE, N.Y.E. That on the 5rd day of MARCH deponent served the within note of issue and statement of

attorney to) for DEFENDANTS A / NEW YORK PLAZA

the address designated by said attorney(w) for that purpose by depositing a true ropy of same enclosed in a postpaid properly addressed wrapper, in — a post office — official depository under the exclusive care and custody of the United States post office department within New York State

readiness on MATTHEW E. DONOITUE, ESO,

AFFIRMED

Admission of Service

DEFENDANTS' NOTICE OF MOTION

UNITED STATES DISTRICT COURT

SOUTHERN DISTRICT OF NEW YORK

SYNTAX TIME SHARING. LTD., and ALBERT L. BARKSDAIE, Jr., Individually and as Agent of SYNTAX TIME SHARING, LTD.,

Plaintiffs,

76 Civ. 2573 (IBW)

-against-

NOTICE OF MOTION

MAX SIRKUS, as CALENDAR CLERK OF THE SUPREME COURT NEW YORK COUNTY, CHASE MANHATTAN BANK, N.A., WILLARD COHEN and ROBERT BREAKSTONE, Individually and as Agents of CHASE MANHATTAN BANK, N.A.,

Defendants.

SIRS:

PLEASE TAKE NOTICE that upon the complaint in this action, copy of which is attached hereto as Exhibit A, the undersigned will move this Court before the Honorable Inzer B. Wyatt, at a term for the hearing of motions to be held in Room 501, United States Court House, Foley Square, New York, New York, on the 6th day of August, 1976, at 2:30 P.M., or as soon thereafter as counsel can be heard, for an order in favor of defendants The Chase Manhattan Bank (N.A.) and Willard Cohen, pursuant to Rule 12(b)(1) of the Federal Rules of Civil Procedure, dismissing the complaint on the ground that the Court lacks jurisdiction over the subject matter thereof, or in the alternative, for an order pursuant to Rule 12(b)(6) of the Rules of Civil Procedure dismissing the complaint on the ground that it fails to

DEFENDANTS' NOTICE OF MOTION

state a claim upon which relief can be granted and for such other and further relief as the Court may deem proper.

Dated: New York, New York June 30, 1976

Yours, etc.,

MILBANK, TWEED, HADLEY & MCCLOY

By Crahen - Jonnie

A Member of the Firm

l Chase Manhattan Plaza New York, New York 10005 Attorneys for defendants, The Chase Manhattan Bank, N.A. and Willard Cohen

TO:

JOSEPH WARDE, ESQ. 505 Park Avenue New York, New York 10022 Attorney for plaintiffs

HON. MAX SIRKUS
Calendar Clerk of the Supreme
Court of the State of New York,
County of New York
60 Centre Street
New York, New York

EXHIBIT 1 TO DEFENDANTS' NOTICE OF MOTION: SUMMONS

EXHIBIT 2 TO DEFENDANTS' NOTICE OF MOTION: COMPLAINT

NOTE OF ISSUE, N.Y. SUPREME COURT

ORDER OF N.Y. SUPREME COURT, JUNE 20, 1974

ORDER OF N.Y. SUPREME COURT, JUNE 24, 1974

NOTE OF ISSUE IN N.Y. SUPREME COURT FILED MARCH 17, 1975

MEMO DECISION FROM J.B. WYATT, U.S. DIST. CT. JUDGE



to

SYNTAX TIME SHARING, LTD., etc., Plaintiffs, -vMAX SIRKUS, and others, Defendants.

76 Civ. 2573

This is a motion by defendants Chase Manhattan and Cohen for dismissal of the complaint because the Court lacks jurisdiction of the subject matter or because the complaint fails to state a claim upon which relief can be granted.

The motion was noticed for Friday afternoon, August 6, and was called then. When no one appeared to oppose, the motion was granted on default by endorsement.

It then appeared that counsel for plaintiffs intended to oppose and was in the Court House but there was some confusion about the room in which to appear.

The default is vacated and counsel for plaintiffs was given an opportunity to be heard and was heard today at 10:30 a.m. in Room 905.

The claims in this action rest on a refusal by a calendar clerk in the New York Supreme Court to accept a note of issue with a jury demand by plaintiffs in an action by plaintiffs which is pending in the State Court.

It is perfectly clear, however, that no federal question is involved in this action. The guaranty of a jury trial in civil actions, found in the Seventh Amendment, applies only to trials in federal courts. In civil actions, the state may modify trial by jury or abolish it altogether. Clesen v. Trust Company of Chicago, 245 F.2d 522 (7th Cir.), cert. denied, 355 U.S. 896 (1957)

The motion is granted as to the movants and on its own motion the Court dismisses the action as to all other defendants. The Clerk is directed to enter judgment dismissing the complaint as to all defendants for lack of jurisdiction over the subject matter.

so ostatio.

Dated - Aug

AUG 10 1976

INZER 3. WYATT United States District Judge

AUS 1 1 PTS

JUDGEMENT, AUGUST 20, 1976

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UNITAD STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK

SYMTAX TIME SHARING, LTD., and ALBERT L. BARKSDALE, JR., individually and as Agent of Syntax Time Sharing, Ltd.

76 31vil 2573 (IBN)

JUDGME T

-against-

25.80

MAX SIRKUS, as Calendar Clerk of the supreme Court New York County, CHASE MARMATTAN BANK, N.A., WILLAWD : COHEN and ROMERT BREADSTONE, individually and as agents of : CHASE MANHATTAN BANK, N.A.

Defendants

Plainsiffs



Defendants Chase Manhattan Bank, N.A. and Willard Cohen having moved the Court for an order to dismiss, pursuant to Rule 12(b)(1) or in the alternative for an order pursuant to Rule 12(b)(6), and the said motion having some on to be hourd before the Honorable Inser B. Wyatt, United States District Judge, and the Court Chereafter on August 10, 1076, having handed down its meanwands, endersement granting movents, motion, and on its own motion the Court of smisses the action as to all other defendants, and the Court having directed the Clerk to enter judgment, it is,

ORDERED, ADJUNCED and DECREED: That defendants MAX SIRKUS, as Calendar Cla. of the Supreme Court New York County, CHASE
HANHATTAN BANK, A., WILLAND COHEN and NOBERT BREEKSTONS, individually and as agent. Of Share Manhattan dank, N.A., have judgment against plaintiff. MATAX MAS SHARING, LTD., and ALBART L. BARKSDALE, JR., individually and as Agent of Syntax Time Sharing, Ltd., dismissing the complaint as to all defendants for lack of jurisdiction over the subject matter.

Dated: New York, N.Y. August 20, 1976

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NOTICE OF APPEAL

UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK (.00 pd

SYNTAX TIME SHARING, LTD., and ALBERT L. BARKSDALE, Jr., Individually and as Agent of SYNTAX TIME SHARING, LTD.,

Index No.

76 Civ. 2573

Plaintiffs,

(IBW)

-against-

MAX SIRKUS, as CALENDAR CLERK OF THE SU-PREME COURT NEW YORK COUNTY, CHASE MANHAT-: TAN BANK, N.A., WILLARD COHEN, and ROBERT BREAKSTONE, Individually and as Agents of CHASE MANHATAN BANK, N.A.,

NOTICE OF APPEAU

Defendants.

NOTICE is hereby given that Syntax Time Shating, Ltd. and Albert L. Barksdale, Jr., the plaintiffs above named, appeal to the United States Court of Appeals for the Second Curcuit from the Judgment dismissing plaintiff's complaint entered in this action on the 20th day of August, 1976, and from every part thereof.

GOSEPH WARDE

Attorney for Plaintiffs Office & P.O. Address 505 Park Avenue New York, N.Y. 10022

TO:

MILBANK, TWEED, HADLEY & McCLOY, ESQS. Attorneys, for Defendants Chase Manhattan Bank, N.A., Willard Cohen 1 chase Manhattan Plaza New York, N.Y. 10005

HON. MAX SIRKUS 60 Centre Street New York, N.Y. 10007

Dated: September 7, 1976

CLERK OF THE COURT United States District Court For the Southern District of New York

STATE OF NEW YORK) COUNTY OF NEW YORK) SS.

| COUNTY OF NEW YORK) SS.: |
|---|
| deposes and says that deponent is not a party to the action, is over 18 years of age and resides at 22 MORRISON ALE BROUX N.Y. 10472. |
| That on the 29 day of OCTOBER, 1976, deponent personally served the within APPENDIX |
| upon the attorneys designated below who represent the indicated parties in this action and at the addresses below stated which are those that have been designated by said attorneys for that purpose. |
| By leaving true copies of same with a duly authorized person at their designated office. |
| By depositing true copies of same enclosed in a postpaid properly addressed wrapper, in the post office or official depository under the exclusive care and custody of the United Stated post office department within the State of New York. |
| Names of attorneys served, together with the names of the clients represented and the attorneys' designated addresses. |
| 1' MILBAUK TWEED HADLEY & Mc CLOY ATTORNEYS FOR DEFENDANTS-RESPONDENTS CHASE MANHATTAN BANK, NA. & WILLARD COHEN I CHASE MANHATTAN PLAZA NEW YORK, N.Y. 10005 |
| 2. HOD. MAX SIRKIS CALENDAR CLERK SUPREME COURT, NEW YORK COURTY 60 CENTRE ST. NEW YORK, U.Y. 10007 |
| Kernett Louve |
| 2 day of October 1976 Michael De Sante |
| Notar, "ublic, State of New York No. 03 0930908 Qualified in Bronx County Commission Expires March 30, 19 |